

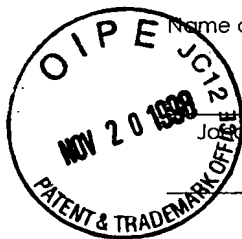
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PATENT

Case No. 8406/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application Of:

HOWARD B. GARBER

Serial No.: 08/868,200

Filed: June 3, 1997

Title: SYSTEM AND METHOD FOR
TRADING HAVING A PRINCIPAL
MARKET MAKER

Group Art Unit: 2762

Examiner: Patel, J.

Assistant Commissioner For Patents
Washington, D.C. 20231

AMENDMENT UNDER 37 C.F.R. § 1.115

Dear Sir:

In response to the Office Action mailed August 18, 1998, Applicant submits the following amendments and remarks, and requests reconsideration of the application.

C